

<b>U.S. Department of Energy</b> <b>U.S. Energy Information</b> <b>Administration</b> <b>Form EIA-860M (2011)</b>	<b>MONTHLY UPDATE TO THE</b> <b>ANNUAL ELECTRIC GENERATOR</b> <b>REPORT</b>	<b>Form Approved</b> <b>OMB No. 1905-0129</b> <b>Approval Expires: 10/31/2013</b> <b>Burden: 0.3 hrs</b>		
<b>PURPOSE</b>	<p>Form EIA-860M collects data on the status of:</p> <ul style="list-style-type: none"> <li>a) Proposed new generators scheduled to begin commercial operation within the subsequent 12 months;</li> <li>b) Existing generators scheduled to retire from service within the subsequent 12 months; and</li> <li>c) Existing generators that have proposed modifications that are scheduled for completion within one month.</li> </ul> <p>The data collected on this form appear in the EIA publication <i>Electric Power Monthly</i>. They are also used to monitor the current status and trends of the electric power industry and to evaluate the future of the industry.</p>			
<b>REQUIRED RESPONDENTS</b>	<p>Respondents to the Form EIA-860M who are required to complete this form are all Form EIA-860, <b>ANNUAL ELECTRIC GENERATOR REPORT</b>, respondents who have indicated in a previous filing to EIA that they have either one of the following: (1) a proposed new generator scheduled to start commercial operation within the subsequent 12 months, (2) an existing generator scheduled to retire from service within the subsequent 12 months, or (3) an existing generator with a proposed modification scheduled for completion within one month, of the report period (month).</p>			
<b>RESPONSE DUE DATE</b>	<p>Reporting on the EIA-860M must begin when either a new generator is within 12 months of entering commercial operation, an existing generator proposed for retirement is within 12 months of being retired from service, or a proposed modification to an existing generator is within one month of completion.</p> <p>The status information provided on the EIA-860M should be the status of the generator as of the end of the data reporting period. The report is due by the 15<sup>th</sup> day of the month following the data reporting period.</p>			
<b>METHODS OF FILING RESPONSE</b>	<p>Submit your data electronically using EIA's secure e-filing system. This system uses security protocols to protect information against unauthorized access during transmission.</p> <p>If you have not registered with e-file Single Sign-On (SSO) system, send an email requesting assistance to: <a href="mailto:EIA-860@eia.gov">EIA-860@eia.gov</a>.</p> <p>If you have registered with SSO, log on at <a href="https://signon.eia.gov/ssoserver/login">https://signon.eia.gov/ssoserver/login</a>.</p> <p>If you are having a technical problem with logging into or using the e-file system, contact the Help Center at: <a href="mailto:EIASurveyHelpCenter@eia.gov">EIASurveyHelpCenter@eia.gov</a> or 202-586-9595</p> <p>If you need an alternate means of filing your response, contact the Help Center.</p> <p>Please retain a completed copy of this form for your files.</p>			
<b>CONTACTS</b>	<p><b>Internet System Questions:</b> For questions related to the e-filing system, see the help contact information immediately above.</p> <p><b>Data Questions:</b> For questions about the data requested on Form EIA-860M, contact the survey staff:</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; text-align: center;"> Vlad Dorjets  Telephone Number: 202-586-3141  Fax Number: 202-287-1960  Email: <a href="mailto:Vlad.Dorjets@eia.gov">Vlad.Dorjets@eia.gov</a> </td> <td style="width: 50%; text-align: center;"> Patricia Hutchins  Telephone Number: 202-586-1029  Fax Number: 202-287-1960  Email: <a href="mailto:Patricia.Hutchins@eia.gov">Patricia.Hutchins@eia.gov</a> </td> </tr> </table>		Vlad Dorjets Telephone Number: 202-586-3141 Fax Number: 202-287-1960 Email: <a href="mailto:Vlad.Dorjets@eia.gov">Vlad.Dorjets@eia.gov</a>	Patricia Hutchins Telephone Number: 202-586-1029 Fax Number: 202-287-1960 Email: <a href="mailto:Patricia.Hutchins@eia.gov">Patricia.Hutchins@eia.gov</a>
Vlad Dorjets Telephone Number: 202-586-3141 Fax Number: 202-287-1960 Email: <a href="mailto:Vlad.Dorjets@eia.gov">Vlad.Dorjets@eia.gov</a>	Patricia Hutchins Telephone Number: 202-586-1029 Fax Number: 202-287-1960 Email: <a href="mailto:Patricia.Hutchins@eia.gov">Patricia.Hutchins@eia.gov</a>			

**ITEM-BY-ITEM  
INSTRUCTIONS**

**SCHEDULE 1. IDENTIFICATION**

1. **Survey Contact:** Verify contact name, title, address, telephone number, fax number, and email address.
2. **Supervisor of Contact Person for Survey:** Verify the contact's supervisor's name, title, address, telephone number, fax number and email address.
3. **Report For:** Verify the Legal Name of the Entity, Entity Identification Number, address, city, state, zip code and reporting month and year. If incorrect, provide the correct information. Provide changes to Legal Name of the Entity in SCHEDULE 4. COMMENTS. Note that the Entity ID is assigned by EIA and cannot be altered.

If any of the above information is incorrect, revise the incorrect entry and provide the correct information. Provide any missing information.

**SCHEDULE 2. UPDATES TO PROPOSED NEW GENERATORS**

**Changes to the generator data:** If there is no change to the preprinted data, check "no change."

1. **Identification Information (applicable in all Schedules):**

- **Plant Name:** Provide an explanation of name changes in SCHEDULE 4. COMMENTS.
- **Plant Code:** If the information is incorrect, contact EIA.
- **Plant State:** If the State listed is the incorrect location for the plant, provide correct State. Use the two-letter U.S. Postal abbreviation to show the State in which the plant is physically located.

If data are incorrect, provide revisions or updates in columns for updates. If data are missing, provide data.

2. For line 1, verify **Status Code**. Use the status codes from the following table:

<b><u>Status Code</u></b>	<b><u>Status Code Description</u></b>
IP	Planned new generator canceled, indefinitely postponed, or no longer in resource plan
TS	Construction complete, but not yet in commercial operation (including low power testing of nuclear units)
P	Planned for installation but regulatory approvals not initiated; not under construction
L	Regulatory approvals pending; not under construction, but site preparation could be underway
T	Regulatory approvals received; not under construction but site preparation could be underway
U	Under construction, less than or equal to 50 percent complete (based on construction time to date of operation)
V	Under construction, more than 50 percent complete (based on construction time to date of operation)
OP	Operating (in commercial operation)
OT	Other (Explain in SCHEDULE 4. COMMENTS)

3. For line 2, verify **Prime Mover Type**. If re-powering is completed, update prime mover type, as appropriate.
- For combined cycle units, enter a prime mover code for each generator.
  - Use the prime mover codes from the following table:

<u>Prime Mover Code</u>	<u>Prime Mover Description</u>
BA	Energy Storage, Battery
CE	Energy Storage, Compressed Air
CP	Energy Storage, Concentrated Solar Power
FW	Energy Storage, Flywheel
ES	Energy Storage, Other (specify in SCHEDULE 4. COMMENTS)
ST	Steam Turbine, including nuclear, geothermal and solar steam (does not include combined cycle)
GT	Combustion (Gas) Turbine (includes jet engine design)
IC	Internal Combustion Engine (diesel, piston, reciprocating)
CA	Combined Cycle Steam Part
CT	Combined Cycle Combustion Turbine Part (type of coal or solid must be reported as energy source for integrated coal gasification)
CS	Combined Cycle Single Shaft (combustion turbine and steam turbine share a single generator)
CC	Combined Cycle Total Unit (use only for plants/generators that are in planning stage, for which specific generator details cannot be provided)
HA	Hydrokinetic, Axial Flow Turbine
HB	Hydrokinetic, Wave Buoy
HK	Hydrokinetic, Other (specify in SCHEDULE 4. COMMENTS)
HY	Hydroelectric Turbine (includes turbines associated with delivery of water by pipeline)
PS	Hydraulic Turbine, Reversible (pumped storage)
BT	Turbines Used in a Binary Cycle (including those used for geothermal applications)
PV	Photovoltaic
WT	Wind Turbine, Onshore
WS	Wind Turbine, Offshore
FC	Fuel Cell
OT	Other (specify in SCHEDULE 4. COMMENTS)

4. For line 3, verify **Nameplate Capacity**. If the nameplate capacity is expressed in kilovolt amperes (kVA), convert to kilowatts by multiplying the power factor by the kVA, divide by 1,000 to express in megawatts to the nearest tenth.
5. For lines 4 and 5, verify **Net Summer Capacity** and **Net Winter Capacity**, respectively.
6. For line 6, verify **Energy Source 1**, the energy source that is expected to be used in the largest quantity (Btus) to power the generator. Select appropriate energy source codes from the table of energy source codes in these instructions. For generators driven by turbines using steam that is produced from waste heat or reject heat, report the original energy source used to produce the waste heat (reject heat).
7. For line 7, verify **Energy Source 2**, the energy source that is expected to be used in the second largest quantity (Btus) to power the generator. Select appropriate energy source codes from the table of energy source codes in these instructions. For generators driven by turbines using steam that is produced from waste heat or reject heat, report the original energy source used to produce the waste heat (reject heat).

8. For line 8, verify the **Planned Current Effective Date** that the generator is scheduled to start commercial operation, or enter the date the generator started commercial operation if reported status is "OP".
9. For line 9, enter **Reason for Change** in status or change in scheduled date. Check all of the reasons that apply; if "Other," explain in SCHEDULE 4, COMMENTS.

### **SCHEDULE 3. UPDATES TO PROPOSED CHANGES TO EXISTING GENERATORS**

1. For line 1, verify **Status Code**. Use the status codes from the following table:

<u>Status Code</u>	<u>Status Code Description</u>
RP	Proposed for life extension or repowering
A	Proposed generator net capacity increase (rerating or relicensing)
D	Proposed generator net capacity decrease (rerating or relicensing)
RT	Existing generator scheduled for retirement
RE	Retired - no longer in service and not expected to be returned to service
CN	Proposed change has been cancelled or indefinitely postponed
OP	Proposed change completed, generator available for commercial operation
OT	Other modification (Explain in SCHEDULE 4, COMMENTS)

2. For line 2, verify **Existing Prime Mover**, use codes from the table in these instructions.
3. For line 3, verify **Nameplate Capacity**. Report the highest value on the nameplate in megawatts rounded to the nearest tenth. If the nameplate capacity is expressed in kilovolt amperes (kVA), convert to kilowatts by multiplying the power factor by the kVA, divide by 1,000 to express in megawatts to the nearest tenth.
4. For line 4, verify **Existing Net Summer Capacity**.
5. For line 5, verify the **Incremental Net Summer Capacity**.
6. For line 6, verify **New Net Summer Capacity**, (sum of lines 4 and 5).
7. For line 7, verify **Existing Net Winter Capacity**.
8. For line 8, verify the **Incremental Net Winter Capacity**.
9. For line 9, verify **New Net Winter Capacity**, (sum of lines 7 and 8).
10. For line 10, verify **Energy Source 1. (Predominant Energy Source)**. Update, as appropriate, based on the completion of any modification resulting in a change in energy source. Enter the appropriate energy source code from the table in these instructions.
11. For line 11, verify **Energy Source 2, (Second Most Predominant Energy Source)**. Update, as appropriate, based on the completion of any modification resulting in a change in energy source. Enter the appropriate energy source code from the table in these instructions.
12. For line 12, verify **New Prime Mover**. For existing generators with a status code of "RP", enter the prime mover code that is applicable once the modification is complete if it will be different from the current prime mover. Use the codes for prime mover provided in these instructions.
13. For line 13, verify the **Planned Current Effective Date**. Enter the month and year that the modification is expected to be completed or the month and year that the generator is scheduled for retirement, as applicable. If the proposed modification is completed, enter the actual date of completion and state "Completed" in SCHEDULE 4, COMMENTS and update status code to "OP".
14. For line 14, enter **Reason for Change** in the planned current effective date. Check all of the reasons that apply, if "Other," explain in SCHEDULE 4, COMMENTS.

**ENERGY SOURCE  
CODES**

Fuel Type	Energy Source Code	Unit Label	Higher Heating Value Range		Energy Source Description
			MMBtu Lower	MMBtu Upper	
Fossil Fuels					
Coal	ANT	tons	22	28	Anthracite Coal
	BIT	tons	20	29	Bituminous Coal
	LIG	tons	10	14.5	Lignite Coal
	SUB	tons	15	20	Subbituminous Coal
	WC	tons	6.5	16	Waste/Other Coal (including anthracite culm, bituminous gob, fine coal, lignite waste, waste coal)
	RC	tons	20	29	Refined Coal
Petroleum Products	DFO	barrels	5.5	6.2	Distillate Fuel Oil (including diesel, No. 1, No. 2, and No. 4 fuel oils.
	JF	barrels	5	6	Jet Fuel
	KER	barrels	5.6	6.1	Kerosene
	PC	tons	24	30	Petroleum Coke
	RFO	barrels	5.8	6.8	Residual Fuel Oil (including No. 5, and No. 6 fuel oils, and bunker C fuel oil)
	WO	barrels	3.0	5.8	Waste/Other Oil (including crude oil, liquid butane, liquid propane naphtha, oil waste, re-refined motor oil, sludge oil, tar oil, or other petroleum-based liquid wastes)
Natural Gas and Other Gases	BFG	Mcf	0.07	0.12	Blast Furnace Gas
	NG	Mcf	0.8	1.1	Natural Gas
	OG	Mcf	0.32	3.3	Other Gas (specify in SCHEDULE 4. COMMENTS)
	PG	Mcf	2.5	2.75	Gaseous Propane
	SG	Mcf	0.2	1.1	Synthetic Gas
	SGC	Mcf	0.2	0.3	Coal-Derived Synthetic Gas
Renewable Fuels					
Solid Renewable Fuels	AB	tons	7	18	Agricultural By-Products
	MSW	tons	9	12	Municipal Solid Waste
	OBS	tons	8	25	Other Biomass Solids (specify in SCHEDULE 4. COMMENTS)
	WDS	tons	7	18	Wood/Wood Waste Solids (including paper pellets, railroad ties, utility poles, wood chips, bark, and wood waste solids)

Fuel Type	Energy Source Code	Unit Label	Higher Heating Value Range		Energy Source Description
			MMBtu Lower	MMBtu Upper	
Fossil Fuels					
Liquid Renewable (Biomass) Fuels	OBL	barrels	3.5	4	Other Biomass Liquids (specify in SCHEDULE 4. COMMENTS)
	SLW	tons	10	16	Sludge Waste
	BLQ	tons	10	14	Black Liquor
	WDL	barrels	8	14	Wood Waste Liquids excluding Black Liquor (including red liquor, sludge wood, spent sulfite liquor, and other wood-based liquids)
Gaseous Renewable (Biomass) Fuels	LFG	Mcf	0.3	0.6	Landfill Gas
	OBG	Mcf	0.36	1.6	Other Biomass Gas (including digester gas, methane, and other biomass gases; specify in SCHEDULE 4. COMMENTS)
All Other Renewable Fuels	SUN	N/A	0	0	Solar
	WND	N/A	0	0	Wind
	GEO	N/A	0	0	Geothermal
	WAT	N/A	0	0	Water at a Conventional Hydroelectric Turbine, and water used in Wave Buoy Hydrokinetic Technology, Current Hydrokinetic Technology, and Tidal Hydrokinetic Technology
All Other Fuels					
All Other Energy Sources	WAT	MWh	0	0	Pumping Energy for Reversible (Pumped Storage) Hydroelectric Turbine
	NUC	N/A	0	0	Nuclear (including Uranium, Plutonium, and Thorium)
	PUR	N/A	0	0	Purchased Steam
	WH	N/A	0	0	Waste heat not directly attributed to a fuel source (WH should only be reported where the fuel source for the waste heat is undetermined, and for combined cycle steam turbines that do not have supplemental firing.)
	TDF	Tons	16	32	Tire-derived Fuels
	OTH	N/A	0	0	Specify in SCHEDULE 4. COMMENTS

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<b>GLOSSARY</b>	The glossary for this form is available online at the following URL: <a href="http://www.eia.gov/glossary/index.html">http://www.eia.gov/glossary/index.html</a>	
<b>SANCTIONS</b>	The timely submission of Form EIA-860M by those required to report is mandatory under Section 13(b) of the Federal Energy Administration Act of 1974 (FEAA) (Public Law 93-275), as amended. Failure to respond may result in a penalty of not more than \$2,750 per day for each civil violation, or a fine of not more than \$5,000 per day for each criminal violation. The government may bring a civil action to prohibit reporting violations, which may result in a temporary restraining order or a preliminary or permanent injunction without bond. In such civil action, the court may also issue mandatory injunctions commanding any person to comply with these reporting requirements. <b>Title 18 U.S.C. 1001 makes it a criminal offense for any person knowingly and willingly to make to any Agency or Department of the United States any false, fictitious, or fraudulent statements as to any matter within its jurisdiction.</b>	
<b>REPORTING BURDEN</b>	Public reporting burden for this collection of information is estimated to average 0.3 hours per response, including the time of reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Energy Information Administration, Statistics and Methods Group, EI-70, 1000 Independence Avenue S.W., Forrestal Building, Washington, D.C. 20585-0670; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503. A person is not required to respond to the collection of information unless the form displays a valid OMB number.	
<b>DISCLOSURE OF INFORMATION</b>	Information reported on Form EIA-860M will be treated as non-sensitive and may be publicly released in identifiable form. In addition to the use of the information by EIA for statistical purposes, the information may be used for any nonstatistical purposes such as administrative, regulatory, law enforcement, or adjudicatory purposes.	

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**NOTICE:** This report is **mandatory** under the Federal Energy Administration Act of 1974 (Public Law 93-275). Failure to comply may result in criminal fines, civil penalties and other sanctions as provided by law. For further information concerning sanctions and disclosure information, see the provisions stated on the last page of the instructions. **Title 18 USC 1001 makes it a criminal offense for any person knowingly and willingly to make to any Agency or Department of the United States any false, fictitious, or fraudulent statements as to any matter within its jurisdiction.**

### SCHEDULE 1. IDENTIFICATION

#### Survey Contact

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone (include extension): \_\_\_\_\_ Fax: \_\_\_\_\_  
Email: \_\_\_\_\_

#### Supervisor of Contact Person for Survey

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone (include extension): \_\_\_\_\_ Fax: \_\_\_\_\_  
Email: \_\_\_\_\_

#### Report For

Operator Name: \_\_\_\_\_  
Operator ID: \_\_\_\_\_  
Reporting as of December 31 of year: \_\_\_\_\_

For questions or additional information about the Form EIA-860M, contact the survey staff:

Vlad Dorjets  
Telephone Number: 202-586-3141  
Fax Number: 202-287-1960  
Email: [Vlad.Dorjets@eia.gov](mailto:Vlad.Dorjets@eia.gov)

Patricia Hutchins  
Telephone Number: 202-586-1029  
Fax Number: 202-287-1960  
Email: [Patricia.Hutchins@eia.gov](mailto:Patricia.Hutchins@eia.gov)



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Legal Name of Entity: \_\_\_\_\_  
Entity ID: \_\_\_\_\_ State: \_\_\_\_\_ Reporting Month/Year: \_\_\_\_\_

**SCHEDULE 2. UPDATES TO PROPOSED NEW GENERATORS**

Identification Information: Plant Name \_\_\_\_\_ Plant State \_\_\_\_\_  
Plant Code \_\_\_\_\_

		Check if no change		Check if no change	
		Generator <EIA gen ID preprint>		Generator <EIA gen ID preprint>	
Line No.	Data Element	Last Data Reported to EIA	This Month's Updates	Last Data Reported to EIA	This Month's Updates
1	Status Code	Pre-printed		Pre-printed	
2	Prime Mover Code	Pre-printed		Pre-printed	
3	Nameplate Capacity (MW)	Pre-printed		Pre-printed	
4	Net Summer Capacity (MW)	Pre-printed		Pre-printed	
5	Net Winter Capacity (MW)	Pre-printed		Pre-printed	
6	Energy Source 1	Pre-printed		Pre-printed	
7	Energy Source 2	Pre-printed		Pre-printed	
8	Planned Current Effective Date: MM/YYYY	Pre-printed		Pre-printed	
9	Reason for Change (check all that apply; if "Other" explain in SCHEDULE 4)	Financial	[ ]	Equipment	[ ]
		Permitting	[ ]	Other	[ ]

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Legal Name of Entity: \_\_\_\_\_ Entity ID: \_\_\_\_\_  
Plant Name: \_\_\_\_\_ Plant ID: \_\_\_\_\_  
State: \_\_\_\_\_ Reporting Month/Year: \_\_\_\_\_

### SCHEDULE 3. UPDATES TO PROPOSED CHANGES TO EXISTING GENERATORS

		Check if no change		Check if no change	
		Generator <EIA gen ID preprint>		Generator <EIA gen ID preprint>	
Line No.	Data Element	Last Data Reported to EIA	This Month's Updates	Last Data Reported to EIA	This Month's Updates
1	Status Code	Pre-printed		Pre-printed	
2	Prime Mover (existing)	Pre-printed		Pre-printed	
3	Nameplate Capacity (MW)	Pre-printed		Pre-printed	
4	Existing Net Summer Capacity (MW)	Pre-printed		Pre-printed	
5	Incremental Net Summer Capacity (MW)	Pre-printed		Pre-printed	
6	New Net Summer Capacity (MW) (lines 4 +5)	Pre-printed		Pre-printed	
7	Existing Net Winter Capacity (MW)	Pre-printed		Pre-printed	
8	Incremental Net Winter Capacity (MW)	Pre-printed		Pre-printed	
9	New Net Winter Capacity (MW) (lines 7 + 8)	Pre-printed		Pre-printed	
10	Energy Source 1	Pre-printed		Pre-printed	
11	Energy Source 2	Pre-printed		Pre-printed	
12	New Prime Mover Code	Pre-printed			
13	Planned Current Effective Date: MM/YY	Pre-printed		Pre-printed	
14	Reason for Change (check all that apply; if "Other" explain in SCHEDULE 4. COMMENTS)	Financial	<input type="checkbox"/>	Equipment	<input type="checkbox"/>
		Permitting	<input type="checkbox"/>	Other	<input type="checkbox"/>

